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ABSTRACT

This study analyzes some of the factors and processes which may influence strategic planning at technical and community colleges within four southern states: Florida, North Carolina, South Carolina, and Texas. The investigation examined 59 colleges in terms of four areas: (1) demographics of the institutions; (2) policies, practices, and size of planning teams; (3) software tools used in strategic planning; and (4) characteristics of the chief executive officer (CEO). Approximately half of the colleges used software tools for strategic planning (41%) and the other half was either in the process of obtaining them (8%) or did not use them at all (51%). There was an extremely wide range in the size of colleges, the size of planning teams, and the CEO scores. Most colleges claimed to do college-wide planning every year or every two years and had strategic planning goals that were closely aligned with the mission and vision of the college. An analysis of variance for CEO scores indicated no significant differences among the institutions in terms of goal attainment. The only statistically significant finding was that colleges with well-written strategic planning guidance documentation tended to exhibit a higher goal attainment level. (Contains 17 tables, 2 figures, and 55 references.) (KP)

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STRATEGIC PLANNING IN COMMUNITY AND TECHNICAL COLLEGES: A SURVEY OF FOUR SOUTHERN STATES

by

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A dissertation submitted in partial fulfillment of the requirements
for the degree of Doctor of Education
in the Department of Educational Foundations
in the College of Education
at the University of Central Florida
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ABSTRACT

This study was conducted to analyze some of the factors and the processes which may influence strategic planning at technical and community colleges within four Southern states: Florida, North Carolina, South Carolina, and Texas. The investigation examined the overall characteristics of the sample in terms of four areas: (1) demographics of the institutions, (2) policies, practices, and size of planning teams, (3) software tools used in strategic planning, and (4) characteristics of the CEO. Approximately half of the 59 colleges used software tools for strategic planning and the other half either were in the process of obtaining them or did not use them at all. There was an extremely wide range in the size of colleges, the size of planning teams, and the CEO scores. Most colleges claimed to do college-wide planning every year or every two years and had strategic planning goals that were closely aligned with the mission and vision of the college.

In addition the sample of colleges was segregated into two main groups with higher and lower estimates of strategic planning goal attainment levels over a recent five year period. These two groups were then analyzed for differences with respect to the four main categories listed above. Other comparisons of interest were also made to further explore what factors might be influencing goal attainment levels.

The results were not statistically significant for any of the factors examined with the exception of quality of strategic planning guidance documentation. This factor tended to place colleges with well-written documentation in a higher goal attainment level (Group I) as compared to colleges that did not have good guidance documentation for strategic planning. Furthermore, an analysis of variance for CEO scores indicated no significant differences amongst the institutions with high goal attainment and low goal attainment. This implied that the effectiveness and productivity of strategic planning in the fifty-nine community and technical colleges was not solely dependent on outstanding CEO leadership.

Recommendations for future research included a larger sampling of colleges for this study, as well as a more in-depth study of effectiveness for comparably sized planning teams from a sample of medium-sized, urban, single campus institutions across the U.S. Further study of the interactions amongst college location, size and type of team demographics, and usage of software tools for strategic planning would be valuable. Perhaps a more elaborate statistical treatment such as path analysis could be utilized with an appropriately selected sample to determine the combination of factors most likely to lead to successful accomplishment of strategic planning goals.

This work is dedicated to the memory of my

late husband, Sgt. Gaylon R. Greer,

to the Veterans' Administration for making

it possible for me to return to graduate school,

to my professors in the College of Education

for their assistance and understanding,

and to my friend, Mrs. Rose Pacey,

Administrative Assistant, who

believed in me.

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CHAPTER 1

INTRODUCTION

Background Issues

Strategic planning in higher education is a method of addressing critical issues and making long range plans to enhance the overall economic and educational position of a college by focusing on both internal and external environmental conditions which affect the college. Community and technical colleges did not have the need to use campus-wide strategic planning until the last 25 years when educational funding began to be restricted and recission and reduction in programs became a reality for many colleges (Doris & Lozier, 1990; Wagggaman, 1992; Burstein, 1996).

Since the models used in higher education were adaptations from the business world, some modifications were necessary for application in the college arena. First, the organizational structure of colleges made campus-wide participation in strategic planning much more desirable than the top-down regimen normally used in businesses. Faculty tend to be more autonomous than most employees in a commercial institution and shared governance tends to make strategic planning efforts more palatable, especially during periods of budget

restraints. In particular, planning decisions involving academic matters are not likely to be implemented without faculty participation and support (Schmidtlein, 1990).

Measuring the effectiveness of strategic planning is almost as nebulous and ubiquitous as defining strategic planning. The researcher in this study sought to measure strategic planning effectiveness for community and technical colleges in four southern states: Florida, North Carolina, South Carolina, and Texas. Effectiveness was measured with an estimate of attainment of strategic planning goals over a recent five year window as judged by the key planning person in each college surveyed. Using this as a springboard, other factors were selected for comparison across colleges to examine those attributes common to colleges with relatively high levels of goal attainment.

Statement of the Problem

Although strategic planning is not a new tool for business and industry, it is a relatively new organizational activity for community and technical college leadership (Doris & Lozier, 1990). Since there was no evidence of extensive research studies of this activity specifically for two-year colleges available in the educational literature, the researcher chose to take a broad approach to the subject and address questions concerning several areas which might shed light on the effectiveness and processes involved in routine strategic planning for community and technical colleges in the southern United States.

The study was designed to answer basic questions as to how often community and technical colleges conducted formal strategic planning, what quality of documentation was available as guidance for this activity, what degree of correspondence with mission and vision was apparent in the strategic planning goals of an institution, what percent of goals were likely to be attained in a five year period, what types and sources of software tools, if any, are used to assist planners, and what type of organizational structure and leadership is typical for strategic planning in community and technical colleges.

In addition, selected demographics and variables for the various institutions were compared to goal attainment levels to determine if the presence of certain factors had any significant effect on strategic planning. For example, did the use of software tools give some colleges an advantage in attaining higher levels of strategic planning goals? Did the quality of documentation effect the levels of goals attained? Did the involvement level of the CEO make any difference in degree of goals attained? Did the size of the college strategic planning team play a part in the percent of goals attained?

Research Questions

The following questions guided this research:

1. What proportion of public community and technical colleges in the four states claimed to be engaged in periodic strategic planning?

2. Were there differences in the demographics of colleges which had high goal attainment for strategic planning goals and those that did not?

3. What transformational leadership characteristics were typical for CEO's at institutions that responded to the survey?

4. Were there differences in leadership characteristics between CEO's for institutions with high strategic planning goal attainments and those with lower goal attainments?

5. What kind of differences existed in the policies, practices, and planning teams amongst the colleges in the sample? Were there differences in policies, practices, or team size for Group I (high goal attainment) and Group II colleges (low goal attainment)?

6. What proportion of the respondents were currently using or planning to use software tools for strategic planning? Did use of tools make a difference in the degree of goal attainment levels compared to non-user goal levels?

7. What technological tools are currently used by strategic planners in the population surveyed? What were the sources of the tools currently being used?

8. In the opinion of the planners who responded, what could be done to make strategic planning more effective?

Definitions of Terms

The following definitions were deemed important for a discussion of strategic planning models and methods in post-secondary education.

External stakeholders--any person or group that lies outside the immediate sphere of influence of a community college's administration; for example, business and industry executives, Chambers of Commerce, Economic Development Councils, 4-year colleges and universities, and untapped prospective student populations.

FTE--Full-time equivalent, a term commonly used in higher education to denote the equivalent of registration for a full load of courses during a semester or quarter. Since many adult learners are part-time, this is a means of lumping two or more part-time students to count as one FTE. Computation of FTE can vary depending on whether courses are college credit or non-credit courses (Kersenbrock, 1998).

Long-range planning--Planning which focuses on goals and objectives with a 5 to15 year time frame for completion and which may also incorporate some strategic planning goals in the three- to five-year range.

Modeling and Simulation tool--Interactive software program which assists management in making policy and operational decisions and which is mathematical in nature and employs use of numerical equations in describing the operational characteristics of a system (Gogg & Mott, 1992). "Simulation differs from static models because it is event driven. The occurrence of an event can change the values of the variables used in a computation. System behavior and performance are derived by averaging the responses observed over the occurrences of a large quantity of events (p. 2-4).

Strategic Planning–"the activity through which one confronts the major strategic decisions facing the organization" (Norris & Poulton, 1991) and which has the following characteristics:

- Defines the institution's relationship to its environment
- Generally takes the whole organization as the unit of analysis
- Depends on inputs from a variety of functional areas
- Provides direction for, and constraints on, administrative and operational activities throughout the institution (Norris & Poulton, pg. 8)

In addition, strategic planning tends to focus on three to five year goals rather than short-range goals or immediate tactical and operational planning. strategic planning, unlike institutional planning, is based more on various possible scenarios and attempts necessary in each scenario to strategically position the college; while Institutional Planning tends to focus on the current facts and near future state of affairs.

Strategic planning goals--Long-range goals which have about a three or five year time-line for attainment, which impact more than one operational unit in the institution, and which are an outcome of the strategic planning process.

TDM Grid--A Team Decision-Making Grid is a strategic planning spreadsheet tool for assisting college administrators in implementing and tracking the progress of strategic planning goals over time. (Korey, 1995)

Significance of the Study

Strategic planning is a process used by some institutions of higher learning for coping with a variety of the administrative issues. Due to financial challenges of reduced or level funding from state and federal legislatures, in conjunction with institutional accountability measures imposed in the last several years, many community colleges are striving to integrate technology with planning through system-wide data handling. Along with these efforts is the necessity of gathering data on external customer satisfaction with community college graduates and employers. Mechanisms for handling this community-wide data and using it to be proactive, rather than reactive, are recognized as strategies for the survival of community colleges (Shulock & Harrison, 1998).

In the opinion of the researcher, planning officers and teams need to look at long-range planning and forecasting as a means of not only justifying funding and balancing budgets, but also for prevailing over competition by gaining advantages in capturing student enrollments and new markets. Colleges have already begun routine strategic planning, but the difficulty lies in planning for the future of colleges in the context of day-to-day operations, in other words, effectively blending management and planning. As Dooris and Lozier (1990) have asserted, strategic management requires participation in planning, commitment to strategic action, and efforts to attain long-range goals across all levels of a college and is inclusive of all elements such as articulation of mission, goal setting, strategy development, and monitoring progress.

Transformational leadership characteristics which would also appear to have direct bearing on strategic planning include being visionary, being a change agent and empowering others to further the position of the college in competitive educational markets (Rouche, Baker, & Rose, 1989). In addition, the activity level of the CEO with regard to strategic planning and his/her years of experience at an institution might also have bearing on effectiveness of strategic planning goal attainment.

Thus, a closer look at the factors which could have a direct impact on the effectiveness of strategic planning would be useful to community college CEO's, planning officers, and strategic planning teams in modeling effective strategic planning for community colleges.

Limitations

This study was limited by responses from strategic planning personnel with responsibilities for long-range planning, and other planning and research functions (Dooris & Lozier, 1990), at public community and technical colleges in the four states. A five year window from January of 1993 to December of 1997 for accomplishing strategic planning goals was emphasized in the survey instrument for this study.

Since little quantitative or semi-quantitative research has been done to study strategic planning at community colleges, the survey instrument was designed based on the researcher's hypothesis that certain factors may play an

important role in effective strategic planning. These factors were: (1) institutional demographics and titles of strategic planning personnel, (2) policies, practices and size of planning teams, (3) software tools used in strategic planning, and (4) CEO leadership characteristics.

Assumptions

The assumptions in this study were that the population sampled and responding were representative of community colleges in the southern region of the United States, that the survey instrument included factors that were relevant to an effective model of strategic planning for community colleges, and that all persons responding conveyed their honest opinions and reported factual data accurately.

Conceptual Framework

Over the last century community colleges have evolved into the mainstay public institution in the United States for workforce training and development, adult life-long learning, vocational education and rehabilitation, transfer programs, career programs, college preparatory programs, and other community-based programs (Witt, Wattenbarger, Gollattscheck, and Suppiger, 1994). In short, it is a "one-size-fits-all" institution of higher learning.

Part of the vitality of community and technical colleges has risen from their ability for rapid responsiveness to community needs for education,

certification training, public forums for community issues, and creation of partnerships and new programs customized for local industry. Because of the transience of some programs in the curriculum, a dichotomy arises in the ability to forecast long-term resources, needs, and capabilities. Add to this dichotomy a progressive increase in percentages of multi-cultural citizens, high mobility of adult learners, and other shifting social and economic demographics. Thus strategic planning for a community or technical college becomes more uncertain with the increase in a plan's projected completion date or targeted time frame.

Strategic Planning Personnel

Personnel responsible for strategic planning usually have other planning responsibilities within a community college. The most common area of co-responsibility is institutional research which centers on gathering data on current or immediately exiting student populations and their degree of completion of offered programs (Dooris & Lozier, 1990).

The position of the strategic planning office in a college's organizational chart can vary from a Vice President for Research and Planning, to a Planning Coordinator reporting to an Academic Dean (Meredith, 1994). Commensurate with position in the organizational chart is the budget appropriated for planning. States in which there are system-wide headquarters at the state level may also have a system office for Research and Planning, such as North Carolina (Brown,

1997). However, only strategic planners at the college level were sampled in this study.

CHAPTER 2

REVIEW OF THE LITERATURE, MEDIA, AND RELATED RESEARCH

Introduction

In an attempt to identify any research work done that has bearing on strategic planning in community colleges, a variety of sources were used. This chapter provides a review of published literature, on-line information from the Internet, personal communications, and research findings relevant to the topic of strategic planning for public institutions, and especially for higher education institutions. The discussion focuses on both the process and the models used for strategic planning, especially in the context of community colleges. The first section addresses the definition and evolution of strategic planning, first within business and then higher education. The second section addresses the interrelationship of strategic planning with other college-wide functions in community colleges, such as quality improvement and operations. Discussion on the interrelationship of vision in leadership, change management, and the mission of the community college with strategic planning is also included in this section . The last section summarizes other literature on strategic planning or

strategic management which has bearing on either the process or the models used in community colleges or other public institutions.

History of Strategic Planning

According to Morrison, Renfro, and Boucher (1984) there were three levels of history for viewing future events in business. Early methods focused on surface indicators such as unemployment, economic growth, number of new homes built, and inflation. The mid-level of history for forecasting involved the application of extrapolative methods to support long-range planning with the aid of computer programs such as regression analysis, judgmental trend extrapolation, and rolling averages. The drawback of these methods was their inability to account for external "surprise" events such as the U.S. recession of 1973 and Japanese and U.S. stock market crashes of 1987. Thus the extrapolative methods were modified to include trend-impact analyses to forecast the results expected with the occurrence of hypothesized surprise events.

The final stage in the history of methods of planning take into account the changing values and attitudes of stakeholders and communities. This stage, dubbed by Morrison, Renfro, and Boucher (1984) as issues management, is still in its infancy, has no clear models of representation, and is on a more qualitative level than the two previous stages for planning. Strategic planning is the integration of issues management with long-range planning and business policy and has become a tool to exploit the new opportunities of tomorrow. On the

other hand, long-range planning optimizes tomorrow for the trends seen in the recent past.

According to Clarke and Tobias (Jan. 1995) the current software models used in business and industry planning either rely on "definitional relationships with a financial orientation, for example spreadsheets and financial modeling systems, or are models which consist mainly of behavioral relationships" using system dynamics software. Clarke and Tobias state that these two very different approaches need to be integrated to comprise a representative corporate model using new computer technology for non-linear systems, application of chaos theory, and neural networks for robust modeling. They also warn against faulty input data and excessive mathematical equations resulting in poor corporate simulation models and difficulty in interpreting the output data.

In a review of the landmark publication edited by Prof. Derek Pugh entitled The History of Management Thought: Historical Evolution of Strategic Management, Booth (1998) concludes that strategic management, previously known as strategic planning or business policy, is an emerging organizational tool that has borrowed from several fields including game theory, networks and alliances, and managerial cognition.

Expanded Definition and Evolution of Strategic Planning

The main focus of strategic planning in higher education is the enhancement of institutional adaptation to outside or external forces and is

considered critical to institutional vitality by advocates of strategic planning (Schmidtlein and Milton, 1989; Handy, 1990). In institutions which have embraced total quality management or continuous quality improvement, strategic planning is easily embedded into this process. Nonetheless, Kotler and Murphy (1981) point out that some institutions are not driven by "sensing, serving, and satisfying markets." (pg. 486-487) Community colleges, however, do fall into this category and, therefore, should be employing strategic planning as a management tool.

Higher education administrators have been learning about the application of formal business planning to their institutions since the late 1960s. Business planning, a management tool, was first employed by governmental and corporate organizations to do long-range planning, forecasting, and budgeting. Because of the high human interaction factors woven into the nature of higher education, planning in its strictest sense, was found lacking because of faulty underlying, profit-driven assumptions (Schmidtlein and Milton, 1989).

In contrast to large commercial businesses who initiated economic projections and business planning using extrapolative methods, most institutions of higher education in the 1960s and 1970s did not have the necessary information technology infrastructures to support planning. As a result of this obstacle, along with the unique autonomy of higher educational faculty, formal planning was not well-received. Many of the documents for planning that were

generated during this time became good book ends and repositories for collecting dust (Ringle and Savickes, 1983).

Dooris and Lozier (1990) gave an overview of the evolution of strategy in higher education and broke it into four phases. The first phase involved horizontal reduction in the 1970s after twenty years of relative affluence. The management of decline dominated during the early 1970s; but in the second phase, the latter part of the 1970s, differentially applied budget reallocations became the battle cry of college administrators. The third phase occurred during the 1980s and involved the transition from an internally focused, closed system of planning to one which was externally oriented and open. The fourth and current phase in the 1990s has been targeted at the blending of strategic planning with day-to-day operations and tactical management to become strategic management.

More currently there has been a trend in higher education to implement advanced computer networking systems that give access and input functions at several layers of the organizational structures at colleges and universities (Keller, 1993). For example, system-wide data handling systems (Shelton, 1997) have been implemented over the past decade at various large institutions of higher education. Arizona State University (Armann, Huish, & Millard, 1994) has implemented a campus-wide distributed computing architecture. A system like this one allows administrators to have real-time access to data on enrollment, budget, space administration and a variety of issues for operating and planning within a college. Without a doubt, there is probably too much information

available at some institutions. Thus there is a need for strategic planners who can look at the global picture and give direction without getting too entangled in mounds of minutia.

Strategic Planning and Other College-wide Functions and Issues

Although strategic planning is an integrated part of other college-wide functions, strategic planning is differentiated from operational and institutional planning by the process and time line for goal implementation. Where strategic planning is more an educated conjecture for a five year window, operations and institutional research functions are based on less guessing and more hard facts like yearly budget allocations and enrollment figures for the immediate or next school year (Norris & Poulton, 1991).

There seem to be various views on how to manage the process of strategic planning depending on whether it is driven by top-down management processes, bottom-up management processes or a hybrid of both. In any case, a team approach seems to be universally accepted. Depending on the orientation of the strategic planning team members, the process may be goal-driven and visionary or it may be more problem-solving and oriented toward making the existing system work more efficiently. The former orientation aligns itself with strategic planning while the latter is closer in nature to institutional planning which involves day-to-day operational issues. (Norris & Poulton, 1991).

Some views were recently expressed during on-line discussions (Brigham, 1994) about the relationship amongst strategic planning, business process reengineering (BPR) and continuous quality improvement (CQI). Burt Peachy of Richland Community College sent in comments to the CQI-L listserv. In brief, Peachy believes that strategic planning and business process reengineering are subsets of CQI and that "without effective quality measures, i.e., process measures and customer satisfaction indices, we are grasping at what Deming also called 'idle dreams'." According to Peachy, a meaningful strategic planning process:

> must be driven by breakthrough thinking on how institutional processes support the goals and vision of the institution. Right now, we have it backwards—the goals drive the system. (p. 4)

On the more humanistic side of the CQI-listserv discussions, Myron Tribus (Brigham, 1994) summarized some of the current thinking by stating that three things are needed for a successful quality effort. 1) a human face, 2) quality management tools and techniques, and 3) a vehicle which gives purpose to the other two, such as strategic planning, competing for the Baldrige award, cost savings, or customer focus. Tribus seems to understand that transformational change must start with those closest to the operations in order for the change to occur, but at the same time administrative support mechanisms must also be in place.

As a part of strategic planning, implementing and initiating necessary changes in the thinking of personnel as well as the processes at a community

college are essential co-functions to effective strategic planning. Yannis Pollalis (1996) advocated an integrated approach to change within an organization which would include Total Quality Management (TQM), Business Process Re-engineering (BPR), and Information Systems Planning (ISP). Each of these three areas are interrelated in process change management, but the processes are not always similar. Pollalis claims that TQM is usually a bottom-up process and results in incremental design changes, BPR is usually a top-down process which results in significant innovation and radical changes, and the ISP can be either strategic as in top-down processes, or tactical as in bottom-up processes.

However, the most challenging statement made by Pollalis (1996) was that measurement of the effectiveness of a change "should not be based on a bottom-line approach that continuously monitors costs and benefits" (p. 26) since this would only result in limited savings and would demoralize the entire change process. His reasoning for this was that you can not allow for innovation and risk-taking and at the same time predict all costs and benefits from a process. In other words, some latitude in the budget for experimentation must be given in order to find a satisfactory equilibrium point for strategic changes.

William King (1997) also offered a finer stratification of radical organizational change under the umbrella of organizational transformation of which there were three proposed components: operational planning, strategic planning and renewal planning. King's definition of organizational

transformation appeared to be very similar to the goal of any good strategic planning effort:

> An organizational transformation is best defined as a planned change designed to significantly improve overall organizational performance by changing the behavior of a majority of people in the organization. (p. 63)

According to Jan Stimson of Anderson Consulting, a global consulting firm, Anderson has not had a history of client partnerships with colleges and universities because these institutions traditionally have not been able to afford their customary fees for a change management initiative (Personal communication, 1998). If this is true for change management consulting firms in general, then the burden of change management largely will fall to the President or CEO of a community college.

With the responsibility for change centered on the college leadership, the characteristics of community college leaders become paramount in the degree of strategic planning goals that can be accomplished. In a national study of community college presidents, John Roueche, George Baker, and Robert Rose (1989) identified some key characteristics for transformational leadership. The study was done in two tiers in order to distill the population down into a pool of CEO's who demonstrated outstanding leadership skills as judged by their peers. Roueche and his co-researchers defined leadership as " the ability to influence, shape, and embed values, attitudes, beliefs, and behaviors consistent with the

increased staff and faculty commitment to the unique mission of the community college" (pg. 18).

An in-depth analysis of the pool of outstanding college CEO's indicated that certain leadership skills were necessary to be able to transform a community college over time in order to reach the vision that the CEO had for the college and, at the same time, fulfill the mission of the community college. In the opinion of this researcher, there are ten phrases that could be extracted from the national study of community college CEO's (Roueche, Baker, & Rose, 1989). These ten phrases could be used to epitomize transformational leaders:

- Inspiring visionary
- Change agent
- Shares governance
- Learner-centered
- Open and approachable
- Empowers and motivates followers
- Builds collaborative environment
- Values and respects others
- Encourages creativity
- Sets and lives by high standards

Of these ten phrases, the four which would appear to have the greatest impact on effective strategic planning are "inspiring visionary", "change agent", "empowers and motivates followers", and "encourages creativity".

Research Studies and Related Literature on Strategic Planning in Community Colleges

Schmidtlein and Milton (1989), in summarizing the lessons learned from the first attempts at planning by colleges in the 1980s, suggested that new approaches needed to "reflect political, incremental, and pluralistic conceptions of organizational functioning" (p. 4) and that change should be a slower, more negotiated process with all stakeholders involved. With this in mind, higher education administrators gave birth to what is now known as strategic planning. Strategic planning includes the process of: analyzing and involving stakeholders, setting the planning structure and examining trends, conducting an analysis of strengths, weaknesses, opportunities, and challenges (SWOC analysis), identifying strategic issues, establishing goals and writing objectives, tasking and devising time lines for meeting goals and objectives, and monitoring the progress of the strategic plan (Kubala, personal communication).

Of the 16 in-depth interviews conducted by Schmidtlein and Milton (1989) in their three year study, four of these examined community colleges. The 16 campuses were a convenience sample and were chosen to represent a broad spectrum of campuses with regard to location, size, mission, and governance. Of the 16 campuses studied at that time, only 5 had the necessary comprehensive data systems to handle the demands of strategic planning. Of these 5, only 2 had

well-staffed institutional research offices of which one was a community college. The overall lessons learned from this study strongly suggest that transformational leadership (Roueche, et al., 1989) is a necessary bedrock for effective strategic planning and that sound and readily available data are only one ingredient. In addition, due to the high cost emotionally and financially of comprehensive planning projects, these projects should not be undertaken more frequently than every three years, or about one to two times in the average life cycle of the community college president (Kubala, personal communication).

Frances Berry and Barton Wechsler (1995) published results of a national survey of 987 state agencies and their experience with strategic planning. Of the 548 agencies which responded, 60% reported that they were currently using strategic planning in their agency. Berry and Wechsler stressed that agencies which reported using strategic planning were satisfied with the results and ranked the most important perceived outcome from strategic planning as clarification of the agency's direction and goals. Thus, strategic planning can be used as a tool for unifying and connecting disparate programs and units in order to work toward achieving an institution's mission.

A study conducted by Bruton and Hildreth (1993) used a convenience sample of 63 top administrators for public-sector institutions with an average budget of $66 million. A survey was used to determine the relationship of a leader's commitment to conduct strategic planning to four other variables: (1) orientation beyond the immediate organization, (2) the importance the

administrator placed on interaction with the community, (3) the orientation toward internal vs. external results, and (4) orientation toward stakeholders. Leaders which were oriented more externally to their environment, rather than internally towards their own organization, appeared to have a higher level of strategic planning commitment. More specifically, Bruton and Hildreth stated that "those individuals engage in professional activities, value results that mean something to the community, and consider that successful strategic planning means major organization-environment interaction" (p. 312).

In addition to the CEO's at community colleges, numerous states in the US have central state offices in charge of state-wide management and data collection for all community colleges within their respective states. In an interview with Robert W. Scott (1987) concerning the North Carolina Department of Community Colleges, Scott was asked about the political and governmental constraints of planning and managing the statewide system. His reply echoed some of the key struggles noted by Schmidtlein and Milton when Scott said,

> One of the great difficulties in planning... is that the planning process, though it may be in place, is constrained by political considerations in terms of time and in terms of philosophies. (p. 28).

With governors' cycles on a four year period and long-range plans for community college state-wide systems on about a ten year cycle, changes in priorities due to politics are bound to influence the planning process for colleges .

Integration of the planning process with normal campus decision-making seems to have been the most satisfactory method of planning in the national study by Schmidtlien and Milton (1989). Less effective methods revolved around specially appointed committees which operated apart from the usual decision-making bodies. As an example, one president picked a group of bright individuals from within the college to brainstorm about the vision and future of the institution and then brought together a more formal group consisting of the board of trustees and senior faculty members to refine a mission statement for further campus-wide distribution and feedback.

According to the College of DuPage planning model (College of DuPage, 1993), Mission and Vision statements are at the very pinnacle of their model. Further support of the importance of clarity in mission and institutional vision are demonstrated in the Institutional Plan for Richland Community College (Richland Community College, 1993). The Institutional Plan was the 12th chapter of a 135-page document which devoted one entire chapter to the college's mission and purpose. The strategic plan for Richland included twelve primary goals with each goal being outlined to include numerous primary objectives with associated time frames, persons or departments responsible, and method of meeting or evaluating completion of the objective.

On the other end of the spectrum, the Stennis Space Center Strategic Plan for Education located on the Internet (Powe, 1995) was directed at adult learners and teachers, but it failed to give tasking and timeline information for

accomplishing goals. Obviously, such a document has little chance of being used and having the goals implemented since delegation of responsibilities and proposed deadlines were absent.

George Korey of the Canadian School of Management suggested the use of a team decision-making (TDM) grid as tool for participative management in the strategic planning process (Korey, 1995). For example, for a specific strategic goal a chart would list the activities to be followed in logical sequential order down the left side of a large graph, while across the top would be a list of position titles of those who were directly or indirectly responsible in accomplishing the goal with all its various steps. Korey proposed that the TDM grid could be used by academic institutions to: analyze institutional objectives and define mission, conduct environmental scans, analyze strategic strengths, develop strategic alternatives, assist in budget and personnel resource allocations, and develop a market strategy. The benefit of using the TDM grid was identified as a means of stimulating better communication, participation and horizontal collaboration.

As with any innovative movement and buzzword, a professional association is normally the offshoot and strategic planning is no exception. The Society for College and University Planning (SCUP) was formed in 1965 for the purpose of promoting, advancing, and applying effective planning in higher education (SCUP homepage, 1997). An international organization with over 3,500 members from both two-year and four-year institutions, SCUP publishes a

quarterly journal, Planning for Higher Education, devoted to scholarly articles about strategic planning and other related subjects.

More recently there has been a resurgence of interest in computer modeling and simulation as a tool for strategic planning. Warren, Crosslin, and MacArthur (1995) expressed a need to investigate Business Process Re-engineering by use of simulation models of the work flows within an organization in order to identify and remedy bottle-necks, i.e. make constructive changes. Warren, et al., emphasized the dominant cost in modular simulation is not in the software and hardware, but in the time it takes to identify critical success factors and gather necessary data in order to tailor the simulation program to a given organization.

The trend toward simulation was also apparent in the article written by Wolfe and Chanin (1993) on business simulation games used to develop strategic management skills in college-level business policy courses. According to these authors, organizational effectiveness is attained when administrative officers possess the ability to make correct strategic decisions and successfully forge them into institutionalized processes. In layman's terms, successful organizations know the right things to do and also do these things well. In terms of community college leadership, a CEO needs strategic planning in order to identify what the college should be doing and he/she also needs effective operational and tactical planning so that the identified strategic planning goals can be done well.

Kent Grumbles (1991) presented a paper to the Annual Forum of the Association for Institutional Research which examined the effects of combining long-range planning with computer-based modeling for Butler University in Indianapolis. The model contained eight dynamic sub-models: 1) five college sub-models, 2) an endowment spending sub-model, 3) a financial aid submodel, and 4) a main university sub-model. All eight sub-models were interactively linked and allowed for data input from both the administrative side as well as the instructional/faculty side. At the two year mark of operation, the following benefits were cited by Grumbles:

- Administration was able to clearly comprehend the dynamics of student enrollments and the effects on tuition revenues.
- The modeling tool allowed academic deans to be integrated into the overall financial planning process.
- The model assisted in orienting new deans and university administrators to their environment.
- The model supports "participatory planning" or top to bottom and bottom to top communication.
- The model allows for short-term and long-range planning alternatives to be examined for effects on the college financially and administratively, and thus takes out some of the guesswork in decision-making.

In 1991, Chiarelott and Reed published an advisory alert for academic institutions involved in strategic planning. The three warnings given included:

(1) avoidance of language that implied a purely business metaphor of student as customer and teaching as customer service, (2) avoid trading substance and credibility in the formation of a strategic plan for a democratically designed, time-consuming plan, (3) educate planning team members at the outset on the concepts involved in strategic planning, for example, environmental scanning, trend analysis, forecasting, global thinking, and strategic analysis.

Two general references that the researcher found helpful in explaining strategic planning concepts and components were The Primer for Institutional Research(1992) by Whitely, Porter and Fenske published by the Association for Institutional Research (AIR), and A Guide for New Planners (1991) by Norris and Poulton published by the Society for College and University Planning (SCUP). Figure 1 is the AIR schematic (p. 88) for internal and external analyses with respect to strategic planning, and Figure 2 is SCUP schematic (p. 11) for strategic planning with respect to other organizational planning activities.

The SCUP guide (Norris & Poulton) explicitly stated that the first deadly sin of reflexive planning was to "attempt to implement, off the shelf, a planning process from another institution or from a textbook" (pg. 16). Along these same lines, Shulock and Harrison (Spring 1998) stated that planning and its integration with assessment and resource allocation was an evolutionary process and that planning must, by its nature, be continuously under a state of flux. Furthermore, they reinforced the idea that there was no single best-fit process for planning, even within a single institution.

As pointed out by Schmidtlien and Milton (1989) there will always be an appreciable amount of guesswork involved in strategic planning because of our human limitation of inability to foresee future events and our tendency to focus narrowly on the immediate. Unplanned repairs, economic upheavals, rapid changes in technology, and unexpected departure of faculty by death or advancement to another position will continue to leave loopholes in even the most quantitatively correct model for strategic planning. The overarching objective in strategic planning is not necessarily increased funding, but smarter and more equitable usage of educational resources with a vision toward the future. This means that there will have to be some give and take for all parties and a desire to advance the institution which supersedes protection of "territory".

Strategic Planning Inputs

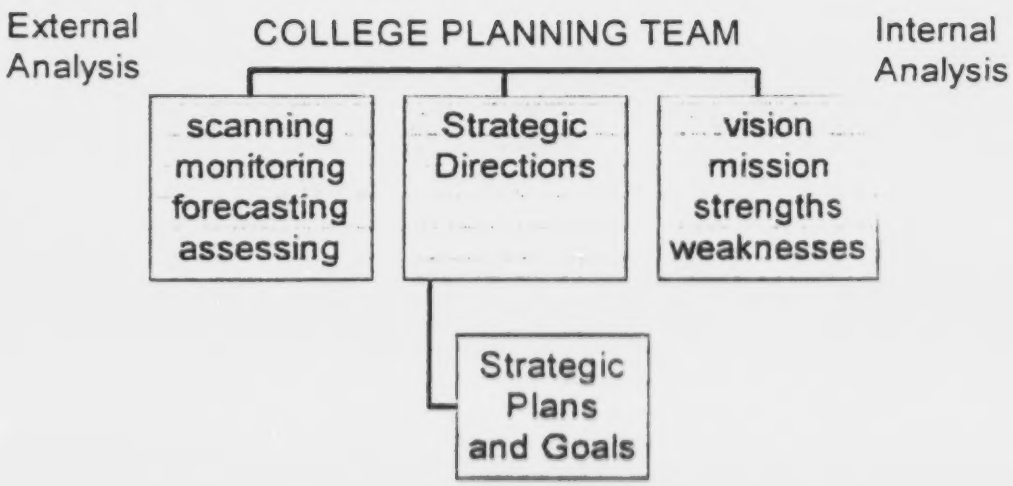

Figure 1. A.I.R. Primer for Institutional Research, 1992, p. 88.

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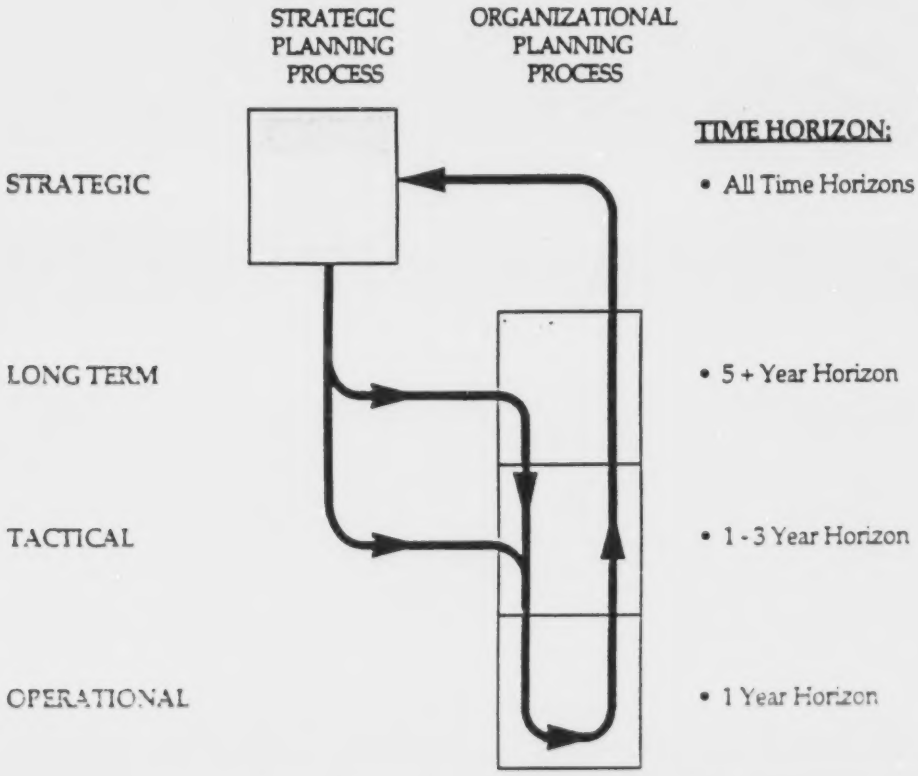
STRATEGIC PLANNING AND OTHER COLLEGE-WIDE FUNCTIONS



CHARACTERISTICS:

STRATEGIC	ORGANIZATIONAL
• External Focus	• Internal Focus
• What To Do	• How To Do It
• Macro Issues	• Impact of Macro Issues on Micro Issues
• Boundary Spanning	• Tied to Organizational Units
• Continual Scanning Process to Notice Changes Occuring Irregularly, Dictated by Environment	• Regular Processes Dictated by Organizational Cycles
	• Linked to Budget/Resource Allocation Process
• Expert Participation	• Constituent Participation

Figure 2. S.C.U.P. Guide for New Planners, 1991, p. 11.

CHAPTER 3

METHODOLOGY

Introduction

This chapter describes methods used to profile strategic planning policies, practices, team structure, and other demographic data pertinent to two year community and technical colleges in four southern U.S. states. Analysis was completed for the effectiveness of attaining strategic planning goals and factors that may have bearing on highly successful levels of goal attainment within a recent five year window. For purposes of comparison colleges were thus grouped in two categories by level of goal attainment and labeled Group I and Group II. Group I colleges claimed to have 80-100% strategic goal attainment and Group II claimed to have 79% attainment or less.

Target Population

In order to identify all two year public post-secondary institutions in the four states in this study, state level offices were contacted to obtain institution names, names and titles of the strategic planning personnel, and appropriate contact information. Each entity surveyed had a state system office that was able

to supply current directories for the planning and research personnel at each college.

After reviewing the institutions in the four states a determination was made that 163 colleges comprised all of the community and technical colleges in the four states. These 163 included 16 technical colleges in South Carolina, 28 community colleges in Florida, 58 community and technical colleges in North Carolina and 61 community and technical colleges in Texas. Three of the institutions in Texas were actually districts including a system of colleges for large metropolitan areas such as Dallas and Houston. Because strategic planning for the colleges in these districts was conducted at the district level, these offices were included in the study.

Instrumentation

Since the literature survey uncovered no quantitative information from strategic planning surveys specific to community and technical colleges, the researcher chose to design an instrument which examined four areas important to strategic planning as follows: (1) demographics about the institution including title of the main strategic planning officer, (2) policies, practices, and size of planning teams, (3) software tools used in strategic planning, and (4) leadership characteristics of the CEO.

These four main areas were investigated based on published literature on the mechanics of strategic planning in higher education. Size and location

influence the revenue base of an institution (Waggaman, 1992; Garrett, 1992; Burstein, 1996) and can impact the availability of software tools, necessary information management systems, staffing, and salaries for planning personnel. In turn, the proximity of the planner to the core administrative team and the multiple roles of a planner can either emphasize or dilute the importance given to strategic planning at a college (Hawkins, personal communication, 1999, N.C. Community College System Report, 1991).

Strategic planning can be affected through an institution's policies and practices because of long or short planning cycles and the quality of written guidelines (Dailey, et al., 1991; Hightower, 1996). Planning can also be effected by correlation of goals with current college mission and vision statements (Donnelly, 1995). Size and demographics of the planning team can have an effect on strategic planning implementation and scope depending on whether the team is smaller with limited representation or a larger number of members from across the college and perhaps the community as well (Mauch & May, 1994; Baker & Markin, 1993; Teitel, 1994; Johnson & Marcus, 1987).

Lastly, the level of CEO's involvement, experience, and leadership skills (Hightower, 1996; Schoening, et al., 1994; McDade, 1988) can affect the importance and direction of the strategic planning function within a college. Time in office has bearing on a true understanding of the culture and climate of a community college (Donnelly, 1995). Involvement in planning sends an implied

message to other members of the planning team and the faculty about importance of strategic planning (Hightower, 1996; Schoening, et al., 1994).

Pilot Survey

Preliminary data were collected through the use of a pilot survey instrument found in Appendix 1. The instrument was constructed according to the reviewed literature and knowledge gained during the researcher's graduate studies regarding community college administrative functions and missions. These graduate studies were done through the University of Central Florida, College of Education beginning in the Fall term of 1994 and continuing through 1998. Additionally, the ten transformational leadership characteristics within this survey were adopted from the book by Roueche, Baker and Rose (1989), Shared Vision: Transformational Leadership in American Community Colleges.

The pilot survey instrument was divided into four main sections:

1. Demographic information and planning personnel titles
2. Strategic planning policies, practices, and guidelines
3. Technology tools and sources
4. Administrative support and planning teams

Each pilot instrument was transmitted electronically by facsimile along with an explanatory cover letter on June 2, 1998 to nine community college planners or institutional researchers in Florida and again on June 19, 1998 to three

planning officers at the state system level for validation. After a few modifications, the finalized instrument (Appendix 2) was constructed.

Final Survey Instrument and Data Collection

The final instrument and an explanatory cover letter were sent by electronic FAX or by letter to all 163 colleges that comprised the target population. On or about the first week of August, 1998, all colleges had received the instrument and cover letter, and the planners completing the forms were requested to return them by August 24, 1998.

Responses were either mailed or FAX'ed to the researcher during the month of August, 1998. For incomplete data, every effort was made to e-mail respondents for clarification prior to the end of August, 1998. For instance, if a respondent indicated that a strategic planning process was not in place and yet indicated a team for planning was designated, the respondent was asked to explain the apparent discrepancy. Several respondents failed to supply numbers for two of the items, and thus needed to be re-contacted for these data. Most respondents had no difficulty completing the survey form.

Data Analysis

Frequencies were used to compile information regarding the colleges for purposes of describing the population which responded to the survey instrument. In addition Chi Square analyses and Analysis of Variance (ANOVA) techniques were used to examine the influence of certain factors on strategic planning goal attainment.

The distribution of colleges according to percent of strategic planning goal attainment suggested that the division between high and low attainment should be split at the 80% delimiting point. This allowed for segregation of the data into two categories, the first having between 100-80% estimates for goals attained within a recent five year period, and the second having less than 80% estimates for goals attained for the same period. Those colleges with perfect or nearly perfect goal attainment were therefore designated Group I and those ranging from poor to just below 80% goal attainment were designated Group II.

Research question number one was:

> What proportion of public community and technical colleges in the four states claimed to be engaged in periodic strategic planning?

This question was analyzed by compilation of frequency data to identify the proportion of community and technical colleges in the sample that claimed to be engaged in periodic and formal strategic planning.

Research question number two was:

> Were there differences in the demographics of colleges which had high goal attainment for strategic planning and those that did not?

For this question, the effect of location on Group I (high goal attainment) and II colleges (low goal attainment) was examined in a 2 x 4 matrix using a Chi Square analysis to determine if these demographic characteristics had an effect on goal attainment levels. The four levels of demography included single campus in a rural location, multiple campuses in a rural location, single campus in an urban location, and multiple campuses in an urban location.

Size had such a large range of values that ANOVA for average size was not meaningful between Group I and II colleges. Segregation of the data for size was made by performing a Chi-square analysis for frequencies of small, medium, and large colleges across Group I and II categories of goal attainment levels.

Research question three was:

> What transformational leadership characteristics were typical for CEO's at institutions that responded to the survey?

This third question was answered by analyzing the total score of CEO transformational leadership characteristics along with time in office and degree of activity in strategic planning. The CEO score was based on the total from a five point Lickert scale rating for the following 10 leadership characteristics:

1. Inspiring visionary
2. Change agent
3. Shares governance
4. Learner-centered
5. Open and approachable
6. Empowers and motivates followers
7. Builds collaborative environment
8. Values and respects others
9. Encourages creativity
10. Sets and lives by high standards

Descriptive statistics were used to profile all the respondents in the population for CEO leadership scores, time in office, and degree of activity in strategic planning.

Research question four was:

> Were there differences in leadership characteristics between CEO's for institutions with high strategic planning goal attainment levels and those with lower goal attainment levels?

For research question 4, the Group I and II colleges were examined by Chi Square analyses using frequencies in a 2 x 2 matrix for length of time in office which was divided into two categories of "0-3 years" and "more than 3 years". Strategic planning activity levels for CEO's were divided into four categories of "very active", "active", "somewhat active", and "slightly active". A Chi square analysis in a 2 x 4 matrix for examining the differences in activity level between Group I and II colleges was applied.

Also, a one-way ANOVA was used to analyze Group I and II colleges for differences in total CEO score for research question number 4. The highest possible CEO score was 50 for the ten leadership characteristics. Mean score and standard deviation were reported for each college group.

Research question number 5 was:

> What kind of differences existed in the policies, practices, and planning teams amongst the colleges in the sample and were there differences in these same factors between Group I and Group II colleges?

The data for this question was analyzed using descriptive statistics for the population to determine predominant frequency of the strategic planning process,

the quality rating of strategic planning guidelines, the judgment on degree of alignment of planning goals with college vision or mission statements, and demographics of strategic planning teams for the responding institutions.

The sixth research question was:

> What proportion of the respondents were currently using or planning to use software tools for strategic planning and did use of tools make a difference in the degree of goal attainment levels compared to non-user goal attainment levels?

The proportion of respondents who were currently using or planning to use software tools were examined with simple descriptive statistics. A Chi Square analysis was used to tabulate expected and actual frequencies for Group I and II colleges and software usage or non-usage in a 2 x 2 table to determine if usage of software had an effect on strategic planning goal attainment level. Colleges who reported an "in-progress" status for software usage were excluded from the college group comparison.

Research question number seven was:

> What technological tools are currently used by strategic planners in the population surveyed and what were the sources of the tools currently being used?

The data on technological software tools used by some of the respondents were classified by type of tool and also by source for this research question. Simple frequencies for each of thirteen application categories and six possible sources of applications were examined. The software application categories were

formulated from the researcher's review of literature and routine information needs for college administration and for team decision-making processes.

Research question number eight was:

What could be done to make strategic planning more effective?

Research question number 8 involved a qualitative analysis of written responses by planners concerning the possible areas of improvement for the strategic planning processes at each of their respective institutions.

CHAPTER FOUR

ANALYSIS OF DATA

Introduction

Fifty-nine surveys were received from key strategic planning personnel in the four states: Florida, North Carolina, South Carolina and Texas. In order to profile the community and technical colleges that responded to the strategic planning survey, characteristics for all 59 colleges were first analyzed. These characteristics were subdivided into four main categories: 1) size and location of the colleges, 2) planning processes and teams at the colleges, 3) usage and types of computer software for strategic planning processes, and 4) leadership characteristics of the CEO's or presidents of the colleges.

The latter part of this chapter focuses on important comparisons amongst the colleges that had higher strategic planning goal attainment and those which had lower levels of goal attainment. This approach was used to give guidance on factors that appeared to be most critical in effecting high goal attainment levels for a community or technical college.

Description of the Population

A total of 59 colleges returned survey information out of a total of 163 public two-year colleges that were sent the survey instrument resulting in a response rate of 36% from the four states.

The types of campuses for the colleges that responded to the survey represented single campus, rural institutions to multi-campus, urban colleges. Table 1 contains a summary of campus types for the responding colleges. The results show that 29.3% of the responding colleges were single campus/rural institutions, 17.2% were multi-campus/rural institutions, 22.4% were single campus/urban institutions, 46.5% were multi-campus/urban institutions and 6.9% were a some combination of these four types.

TABLE 1. Types of Campuses by Percent of Respondents

Type of campus (N = 59)	n	% of respondents
Single campus/rural	17	29.3
Multi-campus/rural	10	17.2
Single campus/urban	13	22.4
Multi-campus/urban	14	24.1
Other/Combination	4	6.9

Most institutions offered more than one type of degree. For the 59 colleges that responded, the types of degrees shown in Table 2 that were awarded

consisted of 98.3% of the respondents granting Associate of Arts (AA), 23.7% granting Associate of Applied Science (AAS), 93.2% granting Associate of Science (AS), 20.7% granting Advanced Technical Degrees (ATD) , 94.7% granting Certificates, and 22.0% granting other types of degrees. Most colleges in the survey granted more than one type of degree.

TABLE 2. Types of Degrees Awarded by % of Respondents

Type of degree awarded	n	% of respondents
AA	58	98.3
AAS	14	23.7
AS	55	93.2
ATD	12	20.7
Certificates	56	94.7
Other	13	22.0

Full-time instructional faculty at the 59 colleges ranged from 25 for a small college to 700 in a large multi-campus district. Total student FTE for both credit and non-credit also spanned a wide range from 844 to 1,046,646 for the school year 1996-1997.

Strategic Planning Process Characteristics of the Population

Nearly all the colleges (91.5%) claimed to be involved in some kind of formal strategic planning process. Cycles for campus-wide strategic planning varied from each year to less than every 3 years. The percent of colleges according to planning cycle are listed in Table 3. Those on annual strategic planning (SP) cycles composed 64.4% of the respondents, 23.7% noted 2 year planning cycles, 3.4% had planning cycles of every 3 years, 5.1% had cycles less often than every 3 years, and 3.4% (n = 2) of the respondents made no indication of the planning cycle for their institutions. The colleges are required by the Southern Association of Colleges and Schools to demonstrate routine and periodic strategic planning, so these data were not surprising. However, the utilization of the plan and the implementation of goals can not be assumed based on the frequency of planning.

TABLE 3. College Planning Cycles by % of Respondents

Cycle (N = 59)	n	% of respondents
Annual SP process	38	64.4
2 Year SP process	14	23.7
3 Year SP process	2	3.4
Less often than every 3 years	3	5.1

The availability of sufficient and well-written strategic planning guidance documentation for the colleges varied from "very good" to "poor or non-existent" as shown in Table 4. Very good guidance documentation was reported by only 28.8% of the respondents, 27.1% reported good guidance, 28.8% noted only adequate guidance, while 11.9% reported either poor or non-existent guidance documentation. There were 3.4% (n =2) of the respondents who did not indicate quality of guidance documentation.

TABLE 4. Guidance Documentation Quality by % of Respondents

Documentation Quality (N = 59)	n	% of respondents
Very good guidance	17	28.8
Good guidance	16	27.1
Adequate guidance	17	28.8
Poor or non-existent guidance	7	11.9

Vision and mission statements faired better in terms of the alignment with strategic planning goals. Table 5 shows the degree of parallel between vision or mission statements and strategic planning goals over a five-year window from January 1993 to December 1997. The majority (64.4%) claimed that goals were very closely aligned with the college mission and vision, while 20.3% claimed a close alignment. However, 6.8% noted only a moderate alignment and

3.4% indicated poor alignment. No indication of alignment was made for 5.1% of the respondents.

TABLE 5. Degree of Alignment of Goals with Mission/Vision by % Respondents

Degree of alignment (N = 59)	n	% of respondents
Very closely	38	64.4
Closely	12	20.3
Moderately	4	6.8
Not closely	2	3.4
Not indicated	3	5.1

The strategic planning personnel who responded had various titles for their position. Table 6 gives the percent of respondents holding each title. By far the highest proportion (41.4%) of respondents held the title of Director. The next highest proportions included 24.1% as Vice Presidents or Vice Chancellors, 10.3% as Deans, and the remaining titles of Officer, Associate Vice President, Coordinator, and other titles each had less than 10% representation.

Strategic planning teams for the colleges varied greatly in size from 5 to 68 members with an average of 18 members, a standard deviation of 12.8, a median of 16 members, and a mode of 11 members. Only 14% of the colleges

TABLE 6. Titles for Planning Personnel by % of Respondents

Title of Strategic Planning Person (N = 59)	n	% of respondents
Vice Pres., Vice Chancellor	14	24.1
Assoc. VP	1	1.7
Officer	5	6.9
Dean	6	10.3
Director	24	41.4
Coordinator	4	6.9
Other	5	8.6

reported planning teams of 30 or more members. The vast majority of colleges (93%) indicated that two or more top administrators were part of the strategic planning team. There were 85% of the colleges that indicated one or more instructional faculty as part of the planning team, but only 39% indicated one or more students allowed to be part of the college-wide planning team.

The number of colleges in each category of goal attainment from the survey data is shown in Table 7. The estimates of goal attainment were divided into percent categories on the survey form (Appendix B). There were twenty-three respondents who indicated high levels of strategic planning goal attainment at 80-100%, twenty-two indicated 60-79% goal attainment, four respondents that claimed only 40-59% goal attainment, and three noted less than 40% goal attainment within a recent five-year span.

TABLE 7. Goal Attainment Levels and Number of Colleges

% SP goal attainment over 5 years		No. of colleges	% of Total
80-100%	(I. High goal attainment)	23	43.4
60-79%	(II. Low goal attainment)	22	41.5
40-59%	(II Low goal attainment)	5	9.4
Less than 40%	(II Low goal attainment)	3	5.7
I. High goal attainment		23	43.4
II. Low goal attainment		30	56.6

The 6 colleges out of 59 which did not indicate percent of goal attainment either did not participate in strategic planning or were in the initial stages of planning and had no benchmarks for measuring goal attainment as yet. The two subgroups for high and low goal attainment were assigned by the researcher since it was important to investigate possible differences between those in Group I having high goal attainment levels and those in Group II having lower goal attainment levels. These two groups were compared in the second part of the analyses for trends in terms of demographics, type of leadership, characteristics of the planning process, and other comparisons of interest.

Software Usage and Types for Strategic Planning

Interestingly, there were about as many colleges that used, or were in the process of preparing to use, software tools as those who claimed not to be using any software (S/W) tools for strategic planning. Table 8 shows this split in the usage of software tools where 40.7% of respondents were currently using software tools for strategic planning, 8.5% were in the process of creating or purchasing such tools and 50.8% were not using any software tools specifically for strategic planning.

TABLE 8. Usage of Software Tools by % of Respondents

Usage of S/W tools (N = 59)	n	% of respondents
Tools currently used	24	40.7
In-progress of creating tools	5	8.5
No tools used	30	50.8

The survey data also provided information on various categories of software tools that were used and the sources of the tools. In order of most frequently to least frequently used , the tools for the colleges included:

1. demographic projections
2. enrollment projections
3. facility needs projections
4. revenue/cost projections

5. economic projections
6. business/industry needs projections
7. integrated planning models
8. capital improvement needs projections
9. interactive college-wide planning models
10. task decision-making grids
11. other types
12. anonymous group communication systems
13. modeling and simulation (iterative)

The various sources of the above tools ranged from commercially purchased to custom built. Table 9 outlines the sources of the 96 tools used or those planning to be used in strategic planning by 29 of the 59 respondents. The number of commercially available tools was 18, modified commercial tools totaled 2, custom-built tools totaled 40, spreadsheets totaled 27, and 9 tools fell into other categories.

Of the twenty-nine colleges that indicated use of software tools in the strategic planning process, either currently or in the near future, there were approximately 100 software applications disclosed by the data. These data indicated an average of about 3 tools for each college committed to use of strategic planning software tools. The range of tools used by any one of the twenty-nine colleges varied from 1 to 10.

TABLE 9. Sources of Software Tools for 29 User Respondents

Sources of Tools (N = 96)	n	% of Total
Custom-built	40	41.7
Spreadsheet	27	28.2
Commercially purchased	18	18.8
Modified commercially purchased	2	2.1
Other	9	9.4

Characteristics of the College CEO or President

Transformational leadership scores were computed by adding up the ratings of 10 characteristics on a five-point Lickert scale. The ten characteristics are listed in Section IV of the survey form in Appendix B and were extracted by the researcher from a national study of community college leaders (Roueche, et al., 1989).

The CEO ratings were submitted by only one planner at each college and were only a rough indicator of the true leadership of the CEO or President. Nevertheless, the scores supplied for 55 of the 59 CEO's ranged from 20 to 50 with a mean of 39.4 and a standard deviation of 8.2 (Figure 3). The most frequently awarded score was the maximum possible score of 50 with 6 respondents, and the second most frequently awarded score was 45 with 5

respondents. The median score was at 40, thus much of the scoring tailed off over the range of 40 to 20.

Group I and Group II Comparisons of Interest

Data on leadership for the colleges indicated that there were similar distributions in CEO scores for Group I colleges with high goal attainment (80-100%) as compared to those in Group II with lower goal attainment levels (<80%). There were slightly more CEO's with the 0-3 years of experience in the Group I category (n = 9) than in the Group II category (n = 7). Table 10 gives the results of a Chi-Square analysis of time in office for both Group I and Group II colleges. The data demonstrate that CEO time in service was independent of college group. However, there was a higher frequency in Group II for CEO's with more than 3 years of experience based on the frequencies. Perhaps this says something about familiarity as an inverse function to change management capabilities of a college president.

TABLE 10. CEO Time in Office by College Group

CEO Time in Office (N =53)	Group I {n (%)}	Group II {n (%)}
0-3 years	9 (17.0)	7 (13.2)
More than 3 years	14 (26.4)	23 (44.2)

χ^2 = 1.13, critical χ^2 = 3.84, D.F. = 1, p = NS.

The mean value for CEO score for the 10 transformational characteristics used in the strategic planning survey (Appendix B) for 22 of the CEO's who were in Group I colleges was 39.3 (out of a possible 50) with a standard deviation of 8.4. The average CEO score for the 28 presidents in Group II colleges was 39.4 with a standard deviation of 8.6.

The Analysis of Variance (ANOVA) in Table 11 indicates that there was no significant difference in mean CEO scores between Group I and Group II college presidents. The F ratio was 0.05 ($\alpha = 0.05$) with a probability of 0.831.

TABLE 11. ANOVA of CEO Transformational Characteristics' Scores by College Group

Source	DF	SS	MS	F	F prob.
Groups I and II	1	3.1	3.1	0.05	0.831
Within Groups	48	3250.9	67.7		
Total	49	3254.0			

Group I mean (SD) = 39.3 (8.4) Group II mean (SD) = 39.4 (8.6)

Location of a college might play a role in determining the tax base and ability to pay for staff and resources for strategic planning. The Chi-Square value for this tabulated data was not statistically significant. As seen by the frequencies in Table 12, Single Campus/Rural institutions had higher frequency in Group II colleges, whereas Single Campus/Urban institutions had a higher frequency in the

Group I category. This may be indicative of a difference in funding and district tax levels where urban institutions have a stronger tax base from which to gain local funding support. Additionally, urban institutions have more readily available resources for partnerships and advisory board memberships.

TABLE 12. Type of Campus by College Group

Type of Campus (N = 50)	Group I {n (%)}	Group II {n (%)}
Single/Rural	4 (8.2)	13 (26.5)
Multi/Rural	4 (8.2)	5 (10.2)
Single/Urban	8 (16.1)	4 (8.2)
Multi/Urban	4 (8.2)	7 (14)

χ^2 = 5.53, critical χ^2 = 7.81, D.F. = 3, p = NS

CEO activity level with regard to strategic planning was also compared across Group I and Group II with Chi-Square analysis. There were again no significant interdependence between CEO activity level and college group as shown in Table 13. There is, however, a larger number (n = 8) in the Somewhat Active/Group II cell as compared to the Somewhat Active/Group I cell (n = 4).

These frequencies (Table 13) may indicate a possible detraction in strategic planning goal attainment because of lack of involvement by a college CEO.

TABLE 13. CEO Activity Level by College Group

CEO Activity Level (N = 52)	Group I {n (%)}	Group II {n(%)}
Very Active	11 (21.2)	13 (25.0)
Active	8 (15.4)	8 (15.4)
Somewhat/Slightly Active	4 (7.7)	8 (15.4)

$\chi^2 = 0.08$, critical $\chi^2 = 5.99$, D.F. = 2, p = NS.

Some measure of the size of a college was needed in order to determine if size had any influence on effectiveness and practices in strategic planning. Simple statistics on number of degrees awarded over a given time period would not have reflected the considerable amount of non-credit instruction which takes place at most community and technical colleges. The incorporation of total Full-time Equivalents (FTE) for credit and non-credit into the ranking for institutional size was an attempt to adjust for this type of instruction.

Another factor that might have been helpful to employ in defining college size was a square-footage of instructional space for each institution, but these data

were not collected. Furthermore, tuition and fee structures or rates for 30 semester hours were so variable from state to state and appeared to have so little bearing on institutional size, that this number could not be used to judge size of institutions in the population. These data would appear to be more appropriately used in judging tax base for support of the various colleges, but this issue was beyond the scope of the research study.

Average size based on total FTE between Group I and II colleges was analyzed for significant differences, but due to the enormous range in size of institutions (based on total student FTE), no significant difference was found. The researcher decided to incorporate a Chi-Square analysis with three college size groups (small, medium, and large) and the usual two levels of goal attainment (high and low). The divisions for small, medium and large colleges are listed in Table 14 which also displays the results of the 3 x 2 matrix frequencies.

Although the Chi-Square analysis did not show a significant relationship between college group and college size, the observed frequencies were noticeably different for the Small College/Group I cell (n = 9) and the Small College/Group II cell (n = 15). The frequencies in Table 14 suggest that small colleges with FTE enrollments of 3,000 and below may be at a disadvantage in terms of meeting strategic planning goals. If this is truly the case, low goal attainment may be influenced by lack of personnel to carry out planning goals or a lack of financial resources for making necessary improvements and changes.

TABLE 14. Size of College by College Group

Size of College (N = 51)	Group I {n (%)}	Group II {n (%)}
Small (0-3,000 FTE)	9 / 17.6	15 / 29.4
Medium (3,001-11,999 FTE)	9 / 17.6	10 / 19.6
Large (12,000 + FTE)	4 / 7.8	4 / 7.8

χ^2 = 1.31, critical χ^2 = 5.99, D.F. = 2, p = NS.

Of the 59 colleges that responded, there were about as many current users or potential users of software tools for strategic planning (49.2%) as non-users of software tools (50.8%). This would imply that planners are not universally convinced of the need for incorporating technological tools used for input information, analysis, and monitoring in strategic planning. Table 15 gives the frequencies for the Chi-Square analysis of usage level of software by Group I and II colleges. Since six of the 59 respondents did not indicate goal attainment levels and four had tools that were still under construction, these colleges were not included in Table 15. Although not significant with Chi-Square analysis, the frequencies display a high number (n = 17) of cases where Group II colleges were not using software tools. The success of strategic planning does not appear to be

a significantly related to the use of existing software tools available to community and technical college planners.

TABLE 15. Software Tool Usage by College Group

Tool Usage (N = 49)	Group I {n (%)}	Group II {n (%)}
Used	10 (20.4)	10 (20.4)
Not Used	12 (24.5)	17 (34.7)

$\chi^2 = 0.265$, critical $\chi^2 = 3.84$, D.F. = 1, p = NS.

The size of a strategic planning team was examined to determine if there were an optimal range for team totals, regardless of type of membership. Table 16 shows the frequency distribution for colleges by group as well as by size of team. The Chi-Square analysis did not indicate a significant interdependence in team size and goal attainment group, but the raw data demonstrated that team size between 13-20 had a higher frequency for the Group I college category (n = 10) compared to Group II (n = 6). Conversely, teams that were smaller or larger than 13-20 members had lower frequencies for Group I college category as compared to Group II. Although these differences were not significant for this sample, there may be a trend for teams that are too small to lack enough representation for all

levels of the institution whereas teams that were very large may be too cumbersome to obtain consensus and to be well managed.

TABLE 16. Planning Team Size by College Group

Team Size (N = 50)	Group I {n (%)}	Group II {n (%)}
Small (1-12)	7 (14)	12 (24)
Medium (13-20)	10 (20)	6 (12)
Large (21 +)	6 (12)	9 (18)

$\chi^2 = 2.55$, critical $\chi^2 = 5.99$, D.F. = 2, p = NS.

Strategic planning documentation quality was significantly related to college group as demonstrated by the frequencies in Table 17. It appears that if guidance is rated as adequate, poor, or non-existent, then these colleges were more likely to fall into the Group II category. Very good and good guidance documentation, while it is probably beneficial to the mechanics of the strategic planning team members, did not seem to have an effect either way on college group frequencies since they were very similar (15 and 13).

TABLE 17. Quality of Guidance Documentation by College Group

Quality of Documentation (N = 51)	Group I {n (%)}	Group II {n (%)}
Very good/Good	15 (29.4)	13 (25.4)
Adequate/Poor/None	7 (13.7)	26 (51.0)

$\chi^2 = 7.67$, critical $\chi^2 = 3.84$, D.F. = 1, p = 0.005.

Planners who responded were asked to make comments concerning improvements for strategic planning at their institutions. The analysis of these open-ended comments came from a small percentage of the planners and indicated that planners had too many other job-related functions which competed for their time to devote adequate attention to strategic planning. There was also a sense of frustration gleaned from comments which indicated a lack of unity on the part of administrators and supervisory personnel. Planners felt that this lack of unity across the college leaders thwarted implementation of strategic planning goals.

The overall analysis of the data suggests that the first step in attempting to devise and implement strategic planning goals is to have good guidance documentation for the strategic planning process. According to Doug Goodgame, President of Worksoft, Inc. in College Station, TX, the one area where

community and technical colleges have failed is in implementation and accountability measures for meeting strategic planning goals and justifying use of tax dollars (Personal communication, 1999). According to Goodgame, without the assistance of a complex software tool for tracking progress against expenditures, the ability of colleges to defend their strategic plans during accreditation and Board of Trustee reviews will remain tenuous at best.

Obviously a few conditions which may have bearing on strategic planning goal attainment are ones which can not be readily altered, such as college location, size of a college, and CEO time in office. But the majority of factors cited in the literature as beneficial to higher education planning are attainable if leadership and members desire to assimilate these favorable conditions into their strategic planning process. These conditions are summarized as follows:

- Planning cycle of at least every two years
- Very good strategic planning guidance documentation
- Very close alignment of goals with college vision and mission
- Use of effective software tools for strategic planning
- Good leadership characteristics in the CEO
- CEO actively involved in the planning process
- Representation and input across all levels of the college

With the exception of the guidance documentation quality, the above factors were not found significant in this study. Nonetheless, there is strong

qualitative evidence in the literature, media, and personal communications with Strategic Planners to suggest that these are important factors. The above-listed factors are also well within the reach of any community or technical college that is seriously evaluating strategic planning processes, policies, and goals.

CHAPTER FIVE

CONCLUSIONS AND RECOMMENDATIONS FOR FURTHER STUDY

General Comments

The results of this study on the strategic planning process and its effectiveness in the context of community and technical colleges appear to be as varied as the colleges included in the study. However, some common themes prevail such as a team approach to planning, a consensus on the need for periodic strategic planning, and the indication from the data that more is required of a college than the presence of a transformational CEO for strategic planning to be effective.

Taken as a whole the 59 colleges that responded to the study had a wide variety of planning cycles but most institutions reported conducting college-wide strategic planning on a one year or two year cycle. Written guidance for conducting strategic planning was an area which seemed to need a great deal of improvement for many colleges while strategic planning goals tended to be fairly well aligned with college vision and mission statements.

College planning officers estimated a wide variety of success in attaining strategic planning goals over a recent five year window and only about half of the sample claimed meeting 80-100% of their institutions' goals within that time frame. Planning officers ranged in status from top administrators, such as Vice Presidents, to junior administrators, such as Coordinators, with a broad range in titles between these two levels. This information indicated a wide variety of the emphasis and potential impetus given to strategic planning within the 59 colleges. Most planners who commented about improving strategic planning at their institutions seemed to feel that their strategic planning duties were compromised because of other duties which robbed them of the time they needed for effective planning. Others believed that their college administrators were not united in accomplishing strategic planning goals, and therefore the effectiveness of planning was diluted.

About half of the respondents indicated using, or had plans to use, software tools for strategic planning. The other half of respondents did not use any tools specifically for strategic planning. Of those that did use tools, the three most frequently cited tools were demographic projections, enrollment projections, and facility needs projections. The average number of tools for user institutions was approximately 3 with a range from 1 to 10. Planners reported that the majority of tools were custom-built indicating that either commercial products were possibly too expensive or perhaps not designed to meet the needs of two-year colleges. Spreadsheets were the next most frequently cited source of tools

for planning. Use of tools or non-use made no significant difference in the frequencies for Group I and II colleges, Group I having relatively high goal attainment levels and Group II have less than optimal goal attainment levels.

Very few colleges seem to be utilizing campus-wide interactive tools or modeling and simulation tools. Research with interactive tools needs to be explored in order to optimize the decision-making processes for college administrators. Operating a college is a complex task with many different units competing for resources. Using well-designed modeling and simulation tools to explore the effectiveness of alternatives would be appear to be much less risky and less costly in the long-run than living with the consequences of poor strategic planning. For example, a suite of new software tools to support planning is being field tested and developed by Worksoft (Hawkins, personal communication, 1999). The first of the three programs is PlanBuilder, a highly user friendly interactive software program which alleviates many of the man-hours and paperwork involved in strategic planning across an institution of higher learning.

Although strong leadership is necessary for an effective strategic planning process and the attainment of goals, it was not sufficient according to this study. The data clearly indicated that CEO leadership scores were not significantly different for Group I and Group II colleges. As verbalized by Ms. Carol Hawkins (1999), V.P. for Information Resources and Planning at Seminole Community College, many people across the college must be committed to achievement of goals spawned from strategic planning in order for success to occur. Hawkins

also stated that there was a need to integrate this commitment into the day-to-day operations and the budget of a college in order for the institution to have effective planning and tangible feedback.

Planning was at a disadvantage if the guidelines were not adequate according to the data on college group and quality of guidance documentation. The quality rating of the documentation was the only factor in the current study which was significantly different by Chi-Square analysis for Group I and II colleges.

Strategic planning teams varied widely in number of members from 4 to 68. Division of the planning teams into small, medium and large were made by the researcher to examine any impact of team size on frequencies for Group I and II colleges. There was no significant difference between planning team size and college group.

Neither college type (multi-campus or single campus), location (rural or urban), nor size (Total FTE) had any significant effect on strategic planning goal attainment level. Although not significant, frequencies for single campus/rural colleges were higher for the Group II category. Perhaps this indicates a concurrent lack of funding for necessary staff and tools for leadership in planning activities since rural colleges traditionally have had leaner budgets than their urban counterparts.

Answers to Research Questions

Research question number one was:

> What proportion of public community and technical colleges in the four states claimed to be engaged in periodic strategic planning?

The data indicated that 91.5% of the respondents claimed to be engaged in periodic college-wide strategic planning, therefore strategic planning was a prominent organizational tool used by respondents.

Research question number two was:

> Were there differences in the demographics of colleges which had high goal attainment for strategic planning and those that did not?

There were no significant differences in location, type, and size factors for colleges in Group I and Group II. According to the frequencies on college demographics, small rural colleges with single campuses were more frequent in the Group II category while medium-sized, urban colleges with single campuses tended to fall into the Group I category. These data give some indication of the effects of funding and organizational complexity on strategic planning.

Research question three was:

> What transformational leadership characteristics were typical for CEO's at institutions that responded to the survey?

The CEO scores for leadership were based on ten phrases and a five point Lickert scale with a maximum score of 50. Scores given to CEO's by planners from the responding colleges ranged from 20 to 50 with a mean of 39.4 and standard deviation of 8.21. The two most frequently awarded scores were 50 and 45. The

majority of CEO's had more than 3 years experience in their current position. CEO activity levels for strategic planning were rated at the "active" or "very active" level by most (77%) of planners who responded to the survey. By and large, the leadership from the responding colleges was both supportive and highly rated.

Research question four was:

> Were there differences in leadership characteristics between CEO's for institutions with high strategic planning goal attainment levels and those with lower goal attainment levels?

There were no significant differences in CEO scores between Group I and Group II colleges. If CEO leadership is not the defining influence on goal attainment levels, then perhaps a combination of good leadership skills at the CEO and Vice Presidential level is necessary. In addition, middle managers may also have an influence on the effectiveness and implementation of strategic planning.

Although many CEO's had more than three years of experience in their current position, i.e., were familiar with the college's culture, this fact did not seem to lend any advantage to strategic planning goal attainment for their respective colleges. In the same respect, there were not any disproportionately high levels of "very active" and "active" ratings for CEO's in Group I compared to Group II colleges. It seems that factors of CEO leadership and activity level, in and of themselves, can not carry the full burden of success or failure for strategic planning since planning is a "community effort".

Research question number five was:

> What kind of differences existed in the policies, practices, and planning teams amongst the colleges in the sample and were there differences in these same factors between Group I and Group II colleges?

Most colleges did strategic planning on either a one year or a two year cycle. Many colleges suffered from a lack of good guidance documentation for conducting strategic planning since there was a significant difference in the quality ratings of documentation between Group I and II colleges. Strategic planning goals were fairly well aligned with college vision and mission statements. If, however, vision and mission statements have not been regularly revised, then alignment with goals will be disparate.

Team sizes ranged widely from 5 to 68. Since a larger proportion of medium-sized teams (n = 13-20) fell into the Group I category, this might indicate some advantage in a team large enough to be representative yet small enough to be manageable. Accountability and tracking with a large committee could be problematic for some colleges.

The sixth research question was:

> What proportion of the respondents were currently using or planning to use software tools for strategic planning and did use of tools make a difference in the degree of goal attainment levels compared to non-user goal attainment levels?

Close to half of the respondents were using or were planning to use software tools for strategic planning. Use of tools did not produce a significant difference in college group compared to non-users. The frequency for non-users (n = 17) was

higher in Group II colleges than in Group I colleges (n = 12). These frequencies could have been indicative of a parallel lack of adequate information technology infrastructure and the availability of useful institutional research statistics, both of which may have affected strategic planning.

Research question number seven was:

> What technological tools are currently used by strategic planners in the population surveyed and what were the sources of the tools currently being used?

Out of approximately 100 tools noted by planners in the survey, the three most frequently used software applications were projection tools for demographics, enrollment, and facility needs. Just over 40% of all tools used were custom-built and another 28% of all tools were categorized as spreadsheets. The remainder (32%) were commercial, modified commercial, or other types of products. These data indicate that the progress of strategic planning tools at the colleges surveyed lags behind the methods used in business and industry. The trend to design your own tool is indicative of an effort to provide cost-savings compared to a purchase for commercial products or an outside contract to develop planning software. Those planners who use no software tools may find it increasingly more difficult to make good judgments in crafting plans, setting goals, nurturing action, and tracking progress within their institutions as technology becomes a necessary part of decision-making, team dynamics, and leadership skills.

Research question number 8 provided an opportunity for planners to comment on:

What could be done to make strategic planning more effective?

Question 8 was answered by very few respondents but responses did indicate a dissatisfaction with multiple job tasks that robbed planners of the ability to focus sufficient effort on strategic planning. There was also some evidence of a need for unified administrator and supervisory commitment to college-wide strategic planning and goal attainment. As in any multi-level and social institution, if part of the system fails it affects the entire system outcome. If planners do not directly report to the CEO of a college, it is possible (Hawkins, personal communication) that planning will not be perceived as worthwhile, or as a presidential priority, by key members of the institution.

Recommendations for Further Study

Further areas of research need to include a larger sample size for a similar study. For the current study, divisions into various categories tended to make cell sizes too small for meaningful comparisons and grouping of categories tended to mask the effect of some of the underlying factors which were being studied. Of special interest would be the effect of team membership on goal attainment.

Provided optimal sized teams were available from a sufficiently large number of medium-sized, single campus, urban institutions, it would be important to college leaders to study the effectiveness of comparable teams based on their demographics. In other words, would teams with faculty members or students be more effective in attaining goals than teams without those members for peer

institutions? Could a predictive function for goal attainment be derived based solely on team demographics and size?

The predictors of goal attainment level need to be refined since the data collection and sample size in this study were limited and based on a single convenience sample. It would be important to further explore interactions amongst college location, size and type with team demographics and usage of software tools for strategic planning. Perhaps a study of path analysis might be useful in identifying critical factors for influencing strategic planning effectiveness. In addition, a broader look at leadership at the Vice Presidential, Dean, and Chair levels might be helpful in determining the influence of leadership on strategic planning processes.

The external orientation of top leadership and degree of environmental scanning for the colleges were two factors which were not included in the scope of the current study. Further research in these areas might indicate where strategic planning fails to see "the big picture", and therefore relies on too much internal data as in the past history of planning. A survey instrument for this has previously been utilized by Bruton and Hildreth (1993) for non-academic public administrators.

Perhaps the one defining implication of this study was that more thought needs to be generated on how colleges can decide to do the right things and how colleges can do those things well. The paucity of literature on strategic planning and strategic management for community and technical colleges was short on

substance, but long on general advice. New software products like PlanBuilder (Goodgame, personal communication) need to be developed to ease the burden of planning and facilitate communication throughout a college.

Development of good modeling and simulation tools is a very costly and labor intensive project. More leaders of community colleges within the same peer group need to pool resources to experiment with modeling and simulation tools for strategic planning. This team effort would probably require some major grant funding from organizations like the American Association of Community Colleges, the Carnegie Institute, or the Kellogg Foundation, but could produce some substantive work in the area of community college decision-making and strategic management tools. Modeling and simulation for complex systems is currently at a turning point in terms of technology because of new developments in parallel processing and applications of chaos theory and is therefore ripe for application in public higher education management.

In conclusion, strategic planning needs to become the blanket function under which all other college functions play an integral part. To paraphrase Wildavsky (1973), planning should be everything, otherwise it's nothing. Institutional effectiveness, accountability, performance-based funding, budgeting and finances, and operations need be aligned with an institution's strategic plan with linkages to outcomes. The direct and indirect costs of these outcomes also need to be quantified. Planning from this perspective would allow community colleges the vision and foresight needed to judiciously eliminate less cost-

effective programs, to add additional faculty in strategic programs, to more rapidly serve their communities, and to streamline operations for increased effectiveness in educational resource management.

APPENDICES

APPENDIX A

MEMORANDUM TO PLANNERS

AND

PILOT SURVEY

STRATEGIC PLANNING SURVEY MEMORANDUM

TO: STRATEGIC PLANNERS/INSTITUTIONAL RESEARCHERS, FLORIDA COMMUNITY COLLEGES

FROM: L. B. GREER, DOCTORAL CANDIDATE, UCF, ORLANDO, FL

SUBJECT: PILOT SURVEY

DATE: APRIL 21, 1999

REQUESTED SUBMISSION DATE: JUNE 15, 1998

DUE TO VARIOUS DEGREES OF LEGIBILITY FOR FAX TRANSMISSIONS, I AM USING CAPS FOR THIS COVER MEMO. IF YOU ARE UNABLE TO READ THE SURVEY FORM (2 PAGES), PLEASE CONTACT L. B. GREER AS INDICATED BELOW.

PLEASE COMPLETE THE ATTACHED SURVEY FORM WHICH IS A PILOT FOR MY DISSERTATION RESEARCH. YOUR VALUABLE INPUT WILL DETERMINE THE FINAL VERSION OF THIS SURVEY.

I PLAN TO STUDY THE STRATEGIC PLANNING PROCESS FOR PUBLIC COMMUNITY AND TECHNICAL COLLEGES IN 4 STATES OVER THE SUMMER AND WILL GRADUATE IN THE FALL OF 1998. IF YOU WOULD LIKE AN ABBREVIATED VERSION OF THE RESULTS OF MY RESEARCH, PLEASE INDICATE THIS ON THE SURVEY FORM.

IF YOU HAVE ANY QUESTIONS BEFORE RETURNING THIS FORM, PLEASE CALL AT: 407-359-1332 OR SEND AN E-MAIL TO: <tutor@gdi.net >

THANK YOU FOR YOUR TIME AND FEEDBACK. PLEASE **FAX** YOUR COMPLETED SURVEY TO: **407-359-9780**

STRATEGIC PLANNING (SP) SURVEY Summer 1998

Purpose: This survey is being conducted to assess strategic planning at community colleges in the Southeast U.S. This information will help to formulate effective Strategic Planning models for post-secondary institutions. All names and responses will be treated confidentially, only trends will be expressed in the final report.

Directions: This survey is designed to be completed in 10-15 minutes. For items having multiple-choice responses, place an "X" or number in the appropriate space next to the selected response category/ies. For open-ended items, print your response in the space provided. Thank you for your time and effort. If you have questions, please call L. Greer (407)359-1332 or e-mail <tutor@gdi.net>.

I. DEMOGRAPHIC DATA (Please print)

Your name: _____ E-mail: _____

Date: _____ Your position title: _____

Name of College: _____ State: _____

Total FTE(credit and non-credit) for 1996-97 school year: _____

Annual student tuition and fees: _____ Number of Full-time teaching faculty (IPEDS report) _____

Type of Campus (*select one*): __ Single Campus/Rural __Multi-campus/Rural

__Single Campus/ Urban __Multi-campus/Urban __ Other (specify) _____

Type of college: ___ Comprehensive ___ Technical ___ Other (specify): _____

II. STRATEGIC PLANNING (SP) POLICY

1) Does your college have a formal SP process in place? *(If "No", skip to section III.)*
___Yes ___No

2) Frequency for your college-wide SP Process
____ Annually
____ Once every 2 years
____ Once every 3 years
____ Less often than every 3 years

2) For your college, rate the quality of written guidance documentation for SP

____ Very good
____ Good
____ Adequate
____ Less than Adequate
____ Poor or Non-existent

3) Closeness to which college vision/mission statements are reflected in your college's last round of college-wide SP: ____ Very closely ____ Moderately ____ Closely ____ Not closely

4) The % of your college's SP goals that have been fully attained within the last 5 calendar years (Jan. 1993-Dec. 1997) are: ____ 80-100% ____ 40-59%

____ 60-79% ____ Less than 40%

5) What could be done at your college to improve the SP process and the implementation of SP objectives? **(Please print response on back of this sheet.)**

III. TECHNOLOGY INFRASTRUCTURE

1) Does your college use Modeling and Simulation (M & S) tools? (*Select one and, if "No" is your response, skip to Section IV*): ____Yes ____ No ____ Under Development

2) Type of M & S Tools used (Select all that apply):

____ Enrollment projections ____ Interactive College-wide SP tools

____ Revenue and cost projections ____ Group Software Systems for Planning

____ Capital Improvements/Facilities Projections ____ Team Decision-Making (TDM) Gri

____ Economic Projections ____ Business/Industry Needs Projection

____ Demographic Projections ____ Other

(Specify):_____

____ Integrated Planning Model (Budget, Registration,Assessment. etc)

3) Of the above software tools, indicate how many are the following:

____ Commercial ____ Modified commercial ____ Custom built ____ Under development

____Other (specify) _____

IV. ADMINISTRATIVE SUPPORT

1) Please mark the following overall characteristics which describe your college's CEO/President

(*Check all that apply.*)

____ Inspiring visionary ____ Empowers and motivates followers

____ Change Agent ____ Builds collaborative environment

____ Shares governance ____ Values and respects others

____ Learner-centered ____ Encourages creativity

____ Open and approachable ____ Sets and lives by high standards

2) How actively is your college CEO involved in the SP process?

____ Very active ____ Active ____Somewhat active ____Slightly active

3) The length of time your CEO/President has been in this capacity at your college is:

____ 0-3 yrs ____ More than 3 years

4) Indicate the number and type of members on your Strategic Planning team:

____ College Administrators (Pres , VP, Provost)

____ Faculty

____ Admin. Staff (Adm. Assistants, Physical Plant Engineers, etc)

____ Students

____ Other (Specify) _____

____ **Total members**

APPENDIX B

COVER LETTER TO PLANNERS

AND

FINAL SURVEY INSTRUMENT

August 1, 1998

Dear Strategic Planning Officer/Coordinator:

In order to profile the strategic planning processes and tools at public 2-year institutions, I am conducting a survey of approximately 150 colleges in four southern states in the US for my doctoral dissertation research. I sincerely request your assistance in gathering these data.

Attached you will find a twenty item survey form If there are any items you would prefer not to answer, you may omit them. However, I will be keeping all identifiers for specific colleges and their corresponding planners as confidential for reporting the results.

If you have any questions concerning the survey and its intended use, please e-mail me at <**tutor@gdi.net**> or telephone me at 407-359-1332. I will be happy to assist you. Also, my major professor, Dr. Tom Kubala at the University of Central Florida, can be reached by telephone at 407-823-2007 or at <tkubala@pegasus.cc.ucf.edu>.

In addition the University of Central Florida (UCF) would like you to know the following as you complete this form:

"You hereby agree to indemnify and hold harmless, UCF, its officers, its Institutional Review Board (IRB), its agents, and its employees. If you should suffer physical injury during participation in this research project, the University will provide referrals to appropriate health care facilities. Any treatment you receive will be charged to your insurance carrier, to any other party responsible for your treatment costs, or to you. UCF cannot provide any financial compensation due to injury suffered during this research study."

Please **FAX** your completed form to **407-359-9780** or mail to the address below. If you would like a copy of the study when it is finished, please indicate this when submitting your survey.

Mail to: Linda B. Greer
P.O. Box 621840
Oviedo, FL 32762

I know that you are very busy in your planning work, and I thank you for your time and effort.

Sincerely,
Linda B. Greer, Doctoral Candidate

University of Central Florida, Orlando, FL

STRATEGIC PLANNING (SP) SURVEY Summer 1998

Purpose: This survey is being conducted to assess *strategic planning at community & technical colleges in the Southern U.S.* This information will help to formulate effective Strategic Planning models for post-secondary institutions. All names and responses will be treated confidentially. Only trends will be expressed in the final report.

Directions: This survey is designed to be completed in 10 minutes. For items having multiple-choice responses, place an "X" or number in the appropriate space next to the selected response category/ies. For open-ended items, print your response in the space provided. Thank you for your time and effort. If you have questions, please call L. Greer (407)359-1332 or e-mail <tutor@gdi.net>. **FAX: 407-359-9780** or 407-366-6557.

I. DEMOGRAPHIC DATA (Please print)

1) Your name:_____ Email:_____

2) Date:_____ Your position title:_____

3) Name of College:_____State:_____

4) Total FTE(credit and non-credit) for 1996-97 school year:_____

5) Annual tuition & fees (30 SH):___No. of F/T teaching faculty (IPEDS rpt.):___

6) Type of Campus (*select one*): __Single Campus/Rural __Multi-campus/Rural __Single Campus/ Urban __Multi-campus/Urban __ Other (specify):_____

7) Type of degrees awarded: ___ AA ___ AS ___ ATD ___Certificates Other(specify):_____

II. STRATEGIC PLANNING (SP) POLICY

8) Does your college have a formal SP process in place? *(If "No", skip to section III.)* ___Yes ___No

9) Frequency for your college-wide SP Process:
- ____ Annually
- ____ Once every 2 years
- ____ Once every 3 years
- ____ Less often than every 3 years

10) For your college, rate the quality of written guidance documentation for SP:
- ____ Very good

____ Good
____ Adequate
____ Less than Adequate
____ Poor or Non-existent

11) Closeness to which college vision/mission statements are reflected in your college's last round of college-wide SP: ____ Very closely
____ Closely
____ Moderately
____ Not closely

12) The % of your college's SP goals that have been fully attained within the last 5 calendar years (Jan. 1993-Dec. 1997) are: ____ 80-100% ____ 40-59%
____ 60-79% ____ Less than 40%

13) What could be done at your college to improve the SP process and the implementation of SP objectives? **(Please print response on back of this sheet.)**

III. TECHNOLOGY INFRASTRUCTURE

14) Does your college use any computer software tools for SP? (*Select one and, if "No" is your response, skip to Section IV*): ___Yes ___ No ____ In-progress

15) Type of Computer Tools used (Select all that apply):

____ Enrollment projections
____ Revenue and cost projections
____ Integrated Planning Model (Budget,Registration, Assessment)
____ Demographic Projections
____ Facilities Projections
____ Economic Projections
____ Interactive College-wide SP tools
____ Group Communication Systems (for anonymity)
____ Modeling & Simulation (iterative)
____ Capital Improvements
____ Team Decision-Making (TDM) Grid
____ Business/Industry Needs Projections
____ Other (Specify):_____

16) Of the above software tools, indicate <u>how many</u> are the following:

___ Commercial ___ Modified commercial ____Custom built ___ In-progress
___ Spreadsheet ___ Other (specify):_____

IV. ADMINISTRATIVE SUPPORT

17) Please mark the following overall characteristics which describe your college's CEO/President:

*(Circle one level for each category, **1**=no evidence; **2**= slight evidence; **3** = apparent; **4** = very apparent; **5**= extremely apparent.)*

Inspiring visionary	**1**	**2**	**3**	**4**	**5**	Empowers and motivates followers	**1**	**2**	**3**	**4**	**5**
Change Agent	**1**	**2**	**3**	**4**	**5**	Builds collaborative environment	**1**	**2**	**3**	**4**	**5**
Shares governance	**1**	**2**	**3**	**4**	**5**	Values and respects others	**1**	**2**	**3**	**4**	**5**
Learner-centered	**1**	**2**	**3**	**4**	**5**	Encourages creativity	**1**	**2**	**3**	**4**	**5**
Open & approachable	**1**	**2**	**3**	**4**	**5**	Sets and lives by high standards	**1**	**2**	**3**	**4**	**5**

18) The length of time your CEO/President has been in this capacity at your college is:

____ 0-3 yrs. ____ More than 3 years

19) How actively is your college CEO involved in the SP process?

____ Very active ____ Active ____Somewhat active ____Slightly active

20) Indicate the number and type of members on your Strategic Planning team:

____ College Administrators (Pres., VP, Provost, Dean)

____ Faculty (Instructional)

____ Admin. Staff (Adm. Assistants, Physical Plant Engineers, etc.)

____ Students

____ Other (Specify):_____

____ Total members

Thanks for helping me with my dissertation! ☺

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